

AUG 27 2001

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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0300P. Re U.S. Continuation Patent Application Of:  
Kenneth Kirsch and Kevin BanderApplication No. 09/839,888 ) Group Art Unit:  
Confirmation No. )  
Filed: April 20, 2001 ) Examiner:  
For: Open End Mutual Fund Securitization Process )Commissioner For Patents  
Washington, D.C. 20231**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT  
WITHIN THREE MONTHS OF FILING OR  
BEFORE MAILING OF FIRST OFFICE ACTION (37 C.F.R. § 1.97(b))**

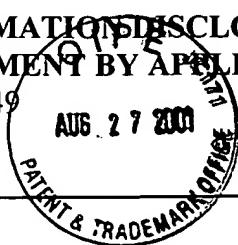
Applicant submits herewith Form PTO-1449 and a copy of the references listed thereon.

Since this Information Disclosure Statement is being filed within three months of the filing date of the Application or before the mailing date of a First Office Action on the merits, whichever event occurs last (37 C.F.R. § 1.97(b)), no certification or fee is due. The Commissioner is hereby authorized to charge any deficiency in fees to Deposit Account No. 23-0280. A duplicate copy of this paper is enclosed for that purpose.

Respectfully submitted,

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312.554.3300**CERTIFICATE OF MAILING (37 C.F.R. § 1.8a)**I hereby certify that this correspondence is, on the date shown below, being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to: Commissioner For Patents, Washington, D.C. 20231 on Aug. 23, 2001Kathleen Rundquist  
Kathleen M. Rundquist/124360.1

INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT  
PTO-1449



W&W File No.: 3001 P 014  
Application No.: 09/839,888  
Applicant: Kiron et al.  
Filing Date: April 20, 2001  
Art Unit:

U.S. PATENT DOCUMENTS

Examiner Initial	U.S. Patent Document No.	Name of Patentee or Applicant	Class/ Subclass	Date of Publication
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Examiner Initial	Foreign Patent Document			Name of Patentee or Applicant	Date of Publication	T
	Office	Number	Kind			

OTHER PRIOR ART OR NON-PATENT LITERATURE DOCUMENTS

Examiner Initial	(including Author (in capital letters), Title of the article, Title of the item, Date, Pages, Volume-Issue number, Publisher, City and/or Country where published.)	T
	SPIR Trust Series 1, Application for Orders Under Section 6(c) of the Investment Company Act of 1940.	
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	Form S-6 (EL24) for registration under the Securities Act of 1933.	

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(including Author (in capital letters), Title of the article, Title of the item, Date, Pages, Volume-Issue number, Publisher, City and/or Country where published.)

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	Amendment No. 1 to Form S-6 (EL24A) for registration under the Securities Act of 1933.	
	Amendment No. 2 to Form S-6 (EL24C) for registration under the Securities Act of 1933.	
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124360.1

Date

Examiner: \_\_\_\_\_

Considered: \_\_\_\_\_

Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.